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Docket No. 2026-4292US1

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE (RO/US)**

INVENTORS(S) : SCHLOM, Jeffrey; HODGE, James; and PANICALI, Dennis  
 INT. APPLICATION NO. : PCT/US99/26866  
 US APPLICATION NO. : 09/856,988  
 INT. FILING DATE : 12 November 1999 (12.11.99)  
 FOR : A RECOMBINANT VECTOR EXPRESSING MULTIPLE  
 COSTIMULATORY MOLECULES AND USES THEREOF

**EXPRESS MAIL CERTIFICATE**

Express Mail Label No. EL912002459US

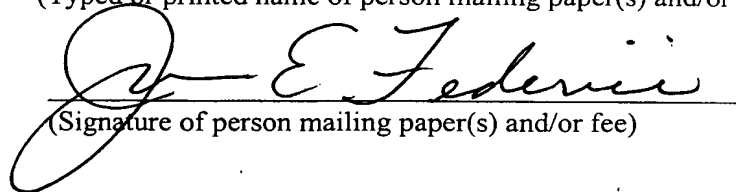
Date of Deposit September 25, 2001

I hereby certify that the following attached paper(s) and/or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to the Commissioner for Patents, Washington, D.C. 20231 Box PCT DO/EO/US.

1. Response to "Notification to Comply With Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures and Amendment, 1 page;
2. Sequence listing paper copy, 14 pages;
3. Sequence listing computer-readable copy, 3.5 inch disk;
4. Statement under 37 C.F.R. §1.825(b); and
5. Return postcard.

Joan Federici

(Typed or printed name of person mailing paper(s) and/or fee)

  
 (Signature of person mailing paper(s) and/or fee)

CORRESPONDENCE ADDRESS:  
 MORGAN & FINNEGAN, L.L.P.  
 345 Park Avenue  
 New York, New York 10154  
 (212) 758-4800  
 (212) 751-6849 Facsimile



UNITED STATES PATENT AND TRADEMARK OFFICE

10 Res 2.001

25 SEP 2001

Commissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/856988	SCHLOM	2026-4292US1
INTERNATIONAL APPLICATION NO.		

MORGAN & FINNEGAN  
345 PARK AVENUE  
NEW YORK, NY 10154 0053

PCT/US99/26866

I.A. FILING DATE	PRIORITY DATE
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12 NOV 99

09 DEC 98

25 JUL 2001

DATE MAILED:

**NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE  
DISCLOSURES**

Applicant has submitted papers under 35 U.S.C. 371 to enter the national stage in the United States of America. The items indicated below, however, are missing. The period within which to correct the deficiency noted below and avoid abandonment is set forth in the accompanying Notification.

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):

- ☒ The application fails to comply with the requirements of 37 CFR 1.821-1.825.
- ☐ This application does not contain, a "Sequence Listing" as a separate part of the disclosure on paper copy or compact disc, as required by 37 CFR 1.821(c).
- ☐ A copy of the "Sequence Listing" in computer readable format has not been submitted as required by 37 CFR 1.821(e).
- ☒ A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
- ☐ The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).
- ☐ The paper copy or compact disc of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e).
- ☐ Other: \_\_\_\_\_

**APPLICANT MUST PROVIDE:**

- ☐ An initial or substitute computer readable form (CRF) of the "Sequence Listing."
- ☒ An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.
- ☐ A statement that the contents of the paper or compact disc and the computer readable form are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).

**FOR QUESTIONS REGARDING COMPLIANCE WITH THESE REQUIREMENTS, PLEASE  
CALL:**

(703) 308-4216, for Rules interpretation,  
(703) 308-4212, for CRF submission help,  
(703) 287-0200, for PatentIn software help.

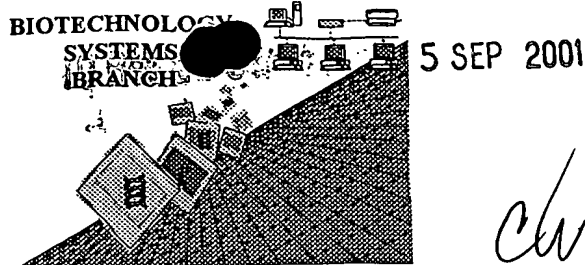
Christine S. Washington

Telephone: 703-305-3752

FORM PCT/DO/EO/920 (March 2001)

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# **RAW SEQUENCE LISTING** **ERROR REPORT**



The Biotechnology Systems Branch of the Scientific and Technical Information Center (STIC) detected errors when processing the following computer readable form:

Application Serial Number: 09/856,988  
Source: PT/09  
Date Processed by STIC: 6/18/2001

**THE ATTACHED PRINTOUT EXPLAINS DETECTED ERRORS.**

**PLEASE FORWARD THIS INFORMATION TO THE APPLICANT BY EITHER:**

- 1) INCLUDING A COPY OF THIS PRINTOUT IN YOUR NEXT COMMUNICATION TO THE APPLICANT, WITH A NOTICE TO COMPLY or,
- 2) TELEPHONING APPLICANT AND FAXING A COPY OF THIS PRINTOUT, WITH A NOTICE TO COMPLY

**FOR CRF SUBMISSION QUESTIONS, PLEASE CONTACT MARK SPENCER, 703-308-4212.**

**FOR SEQUENCE RULES INTERPRETATION, PLEASE CONTACT ROBERT WAX, 703-308-4216.**

**PATENTIN 2.1 e-mail help: [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or phone 703-306-4119 (R. Wax)**

**PATENTIN 3.0 e-mail help: [patin3help@uspto.gov](mailto:patin3help@uspto.gov) or phone 703-306-4119 (R. Wax)**

**TO REDUCE ERRORED SEQUENCE LISTINGS, PLEASE USE THE CHECKER VERSION 3.0 PROGRAM, ACCESSIBLE THROUGH THE U.S. PATENT AND TRADEMARK OFFICE WEBSITE. SEE BELOW:**

## **Checker Version 3.0**

The Checker Version 3.0 application is a state-of-the-art Windows based software program employing a logical and intuitive user-interface to check whether a sequence listing is in compliance with format and content rules. Checker Version 3.0 works for sequence listings generated for the original version of 37 CFR §§1.821 – 1.825 effective October 1, 1990 (old rules) and the revised version (new rules) effective July 1, 1998 as well as World Intellectual Property Organization (WIPO) Standard ST.25.

Checker Version 3.0 replaces the previous DOS-based version of Checker, and is Y2K-compliant. Checker allows public users to check sequence listings in Computer Readable form (CRF) before submitting them to the United States Patent and Trademark Office (USPTO). Use of Checker prior to filing the sequence listing is expected to result in fewer errored sequence listings, thus saving time and money.

**Checker Version 3.0 can be down loaded from the USPTO website at the following address:**

**<http://www.uspto.gov/web/offices/pac/checker>**

RAW SEQUENCE LISTING  
PATENT APPLICATION: US/09/856,988

DATE: 06/18/2001  
TIME: 16:53:05

Input Set : A:\20264291.app  
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Does Not Comply  
Corrected Diskette Needed

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5 <120> TITLE OF INVENTION: A recombinant vector expressing multiple constimulatory  
6 molecules and uses thereof  
8 <130> FILE REFERENCE: 20264292PC  
> 10 <140> CURRENT APPLICATION NUMBER: US/09/856,988  
> 11 <141> CURRENT FILING DATE: 2001-05-30  
13 <150> PRIOR APPLICATION NUMBER: 60/111,582  
14 <151> PRIOR FILING DATE: 1998-12-09  
16 <160> NUMBER OF SEQ ID NOS: 41  
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RAW SEQUENCE LISTING  
PATENT APPLICATION: US/09/856,988

10 REG 25 SEP 2001  
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RAW SEQUENCE LISTING  
PATENT APPLICATION: US/09/856,988

DATE: 06/18/2001  
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RAW SEQUENCE LISTING  
PATENT APPLICATION: US/09/856,988

DATE: 06/18/2001  
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*This is not a  
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**VERIFICATION SUMMARY**

**PATENT APPLICATION: US/09/856,988**

**DATE: 06/18/2001**

**TIME: 16:53:06**

**Input Set : A:\20264291.app**

**Output Set: N:\CRF3\06182001\I856988.raw**

10 M:270 C: Current Application Number differs, Replaced Current Application Number  
11 M:271 C: Current Filing Date differs, Replaced Current Filing Date